

SOLICITATION FOR FINANCIAL ASSISTANCE APPLICATIONS



DE-PS26-03NT41713

“Regional Carbon Sequestration Partnerships - Phase I”

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web site at: <http://e-center.doe.gov>



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SECTION I **SOLICITATION - TECHNICAL REQUIREMENTS**

1.1 SUMMARY (MAR 2001)

The purpose of this solicitation is to support the Department of Energy's Carbon Sequestration Program by promoting the development of a framework and infrastructure necessary for the validation and deployment of carbon sequestration technologies. This initiative directly supports the President's Global Climate Change Initiative (GCCCI) goal of reducing greenhouse gas intensity by 18% by 2012 and ensures that a suite of commercially-ready sequestration technologies will be available for the 2012 technology assessment mandated by the GCCCI. DOE seeks applications for, and expects to select, multiple Regional Carbon Sequestration Partnerships to receive financial assistance awards to evaluate options and potential opportunities for regional CO₂ sequestration. These partnerships will address CO₂ storage and capture, CO₂ transport, regulatory permitting, communication and outreach, public acceptance, monitoring and verification, and environmental efficacy of sequestration in their multi-state region(s). This solicitation represents Phase I of the Regional Partnerships program. A Phase II solicitation, to implement carbon sequestration action plans and conduct small-scale validation testing of the most promising technologies, will be issued near the completion of the Phase I projects.

1.2 BACKGROUND INFORMATION (JAN 2000)

The establishment of Regional Carbon Sequestration Partnerships will promote implementation of technology for the capture, transport, and storage of anthropogenic fossil fuel CO₂ emissions across the United States.

For sequestration to be acceptable, the cost and energy penalty associated with CO₂ capture must be reduced, the long-term environmental efficacy and safety of CO₂ storage must be verified, and an infrastructure amenable to sequestration must be developed. The geographical differences in fossil fuel use and sequestration sinks across the United States dictate that regional approaches will be required to address the sequestration of CO₂. Each partnership will be expected to (1) investigate permitting requirements, (2) initiate public acceptance, (3) develop protocols for application of the latest advancements in technology from emerging technology development efforts by DOE and others, (4) evaluate these technologies for regional solutions to capture and storage of CO₂, and (5) conduct a review and gap analysis of the monitoring and verification requirements to validate the long term storage efforts.

Regionally oriented partnerships represent an important step towards meeting these objectives. The regional diversity of CO₂ sources and storage options calls for a diverse portfolio of strategies for carbon management. Multi-partner collaborations are encouraged. A Regional Partnership may consist of academia, national laboratories, energy producers and users, non-profit organizations, state agencies, and local agencies indigenous to a specific region. Multi-state regions should be based upon commonality of interests and contributions to the Partnership including the similarity of CO₂ sources and storage options. States in a multi-state region need not be contiguous.

1.3 **SOLICITATION OBJECTIVES (MAR 2001)**

The objective of this solicitation is to support regional solutions for the capture, transport, and storage of anthropogenic fossil fuel CO₂ emissions across the United States

Each regional partnership will be required to:

- 1) Define the Geographical Boundaries of the Region. Regions should be defined based on similarities of CO₂ sources, sinks, permitting considerations, partners and other analogous features, and should contain significant opportunities for CO₂ capture and storage. Multiple approaches for the capture, storage, and sequestration of CO₂ will be required for the United States. For example, two sinks in the U.S. may have similar geologic characteristics but one of the two may not be suitable for sequestration because of regional conditions (e.g., land use change patterns, seismic considerations, use as a drinking water aquifer). In addition, a region may have a concentration of unique CO₂ sources. These sources could use the same capture technologies and yield a significant reduction of the CO₂ emitted from a region.
- 2) Characterize the Region. Characterize the region relative to sources, sinks, transport, sequestration options, and existing and future infrastructure requirements. For direct sequestration approaches (i.e., capture and injection of CO₂ into geologic reservoirs), partnerships are required to address all of these issues. For indirect sequestration approaches (e.g., reforestation, agriculture practices), partnerships are required to identify the natural sinks and regional sources of CO₂ emissions. Information gathered during the characterization phase shall be archived in a relational database and geographic information system (GIS). The GIS is essential to analyzing the costs of transport, concentration of sources, capacity of sinks, and the creation of regional carbon accounting methods/protocols.
 - (a) Sources identified within a region must be of collective size that CO₂ capture would significantly reduce the total emissions within the region. Information presented should include, but are not limited to, annual emissions of CO₂, emissions of other green house gases (GHGs), and locations of large individual sources. Sources of CO₂ can include, but are not limited to, fossil fuel combustion power plants, metals manufacturing facilities, chemical processing plants, ethanol production, natural gas production and fossil fuel energy facilities.
 - (b) Storage options (i.e., sinks) must include the predominant geologic and terrestrial sinks of the defined region. Storage options could include, but are not limited to, geologic reservoirs such as depleted oil/gas reservoirs; unmineable coal seams; saline formations; terrestrial sequestration options such as reforestation of abandoned mine lands; enhancement of unproductive lands; and modifying land management practices on lands with existing carbon stock to increase carbon content. Value-added storage options such as enhanced oil recovery, natural gas production, or growth of timber or agricultural products should be considered.
 - (c) Matching sources/sinks with CO₂ transportation issues must be addressed. Transport of the captured CO₂ from the source to the sink may be a significant consideration in regional greenhouse gas mitigation strategies. The Partnerships must analyze options/issues related to transport of CO₂ between sources/sinks (e.g. via pipeline, tanker, etc) within the region. Transport options/issues are very different and may not be not applicable to indirect sequestration approaches such as reforestation and agricultural practices. For example, transportation issues need not be considered for indirect sequestration such as enhancing natural sinks to increase carbon storage but may need to analyzed for a strategy to utilize biomass for a marketable product or energy source.
- 3) Identify and Address Issues for Technology Deployment. Conduct a preliminary assessment of safety, regulatory and permitting requirements, public perception, ecosystem impacts, monitoring and verification requirements, and other potential issues associated with wide scale deployment of promising regional opportunities selected for

CO₂ capture, transport, and storage (direct and/or indirect approaches). Develop actions plans to overcome these issues and begin implementing these plans where possible. Implementation of these action plans would continue throughout both Phase I and Phase II of the Partnerships.

- 4) Develop Public Involvement and Education Mechanisms. Develop public involvement and education mechanisms that would raise awareness of sequestration opportunities in the region and provide interested stakeholders with information about supporting technology development efforts. For example, a public involvement plan may consist of, but not limited to, public education in the form of mailing lists, public meetings, media advertising, local interviews and education programs available at libraries, schools, and local businesses.
- 5) Identify the Most Promising Capture, Sequestration and Transport Options. Analyze results from Paragraphs 1 through 4 above to identify the most promising regional opportunities for CO₂ capture, transport, storage and sequestration (direct or indirect) from the perspective of technical feasibility, safety, estimated cost, perceived public acceptability, CO₂ reduction potential, and environmental efficacy. Technologies assessed for direct capture of CO₂ are likely to come from the most promising options emerging from the DOE Carbon Sequestration Program or other related R&D initiatives conducted by academia and industry. This Regional Partnership initiative is not intended to be a “technology development” initiative. This initiative should, where possible, assess and validate the most promising emerging technology developments and if necessary, identify minor modifications required to fit the technology(s) to the regional applications. Near the conclusion of Phase I, these results shall be used to identify and plan small scale, regional technology validation field tests to be conducted by Partnerships selected for follow on activity in Phase II. The results from both Phase I and Phase II activities will ultimately provide prime candidate regional options for future large scale (> 1 million tonnes per year CO₂ sequestered) demonstration and deployment opportunities, unrelated to these Regional Partnership solicitations.
- 6) Prepare Action Plans for Implementation and Technology Validation Activity. Action plans shall be prepared to implement the framework developed leading to small scale regional technology validation field tests identified in Paragraph 5 above. Relative to direct capture options from energy facilities, Partnerships are encouraged to consider cost-effective approaches that provide flexibility for assessing multiple candidate technology options, if appropriate, such as a small slip stream from existing facility. Action plans for implementing Paragraphs 3 & 4 above shall address the Partnerships plans related to public acceptance, public involvement and education, regulatory, permitting and accounting frameworks necessary for demonstration and wide-scale deployment of the most promising greenhouse gas mitigation strategies identified from this solicitation.

SECTION II **SOLICITATION-CONDITIONS AND NOTICES**

2.1 APPLICANT ELIGIBILITY (MAY 2001)

(a) Any nonprofit or for-profit organization, university or other institution of higher education, or non-federal agency or entity is eligible to apply, unless otherwise restricted by the Simpson-Craig Amendment which is defined as follows:

Organizations which are described in section 501(c)(4) of the Internal Revenue Code of 1986 and engage in lobbying activities after December 31, 1995, shall not be eligible for the receipt of Federal Funds constituting an award, grant, or loan. Section 501(c)(4) of the Internal Revenue Code of 1986 covers:

“Civic leagues or organizations not organized for profit but operated exclusively for the promotion of social welfare, or local associations of employees, the membership of which is limited to the employees of a designated person or persons in a particular municipality, and the net earnings of which are devoted exclusively to charitable, educational or recreational purposes.”

Lobbying activities are defined broadly to include, among other things, contacts on behalf of an organization with specified employees of the Executive Branch and Congress with regard to Federal legislative, regulatory and program administrative matters.

NOTE: Please review 2.16 for further eligibility restrictions.

2.2 NUMBER AND TYPE OF AWARDS (JAN 2000)

It is anticipated that between 4-10 cost-shared projects will be selected. Individual Phase I project awards are expected to be between 18 - 24 months with a total project value estimated at \$1.0 million to \$2.0 million each (DOE share of project costs estimated at between \$800K-\$1,600K). The maximum DOE share of an award will be \$1,600K. The Government reserves the right to fund, in whole or in part, any, all, or none of the applications submitted in response to this solicitation and will award that number of financial assistance instruments which serves the public purpose and is in the best interest of the Government. The Government intends to use cooperative agreements as the type of award instrument(s).

2.3 COST SHARING REQUIREMENTS (DEC 1999)

In accordance with 10 CFR 600.30, the DOE has determined that a minimum private sector cost share for applications submitted under this solicitation is 20% of the **total** project value (**NOT** 20% of the DOE share) during each Budget Period. Cost sharing must meet the requirements of 10 CFR 600.123 and 10 CFR 600.224. Allowable costs for cost sharing shall be in accordance with 10 CFR 600.127 and 10 CFR 600.222.

2.4 AVAILABILITY OF FUNDS (AUG 1999)

DOE's budget includes \$5 million for the current fiscal year for this Program Solicitation (PS). The proposed budget for this program over 2 years is \$10 million of DOE support.

2.5 PROJECT PERIOD (AUG 2000)

Reference 2.2 above.

2.6 REPORTING REQUIREMENTS (FEB 2001)

Reports identified in the Reporting Requirements Checklist of the model financial assistance agreement located at <http://www.netl.doe.gov/business/faapiaf/MODEL.PDF> are required to be submitted during performance of the award.

2.7 TIME, DATE AND PLACE APPLICATIONS ARE DUE -- IIPS (FEB 2002)

All applications shall be submitted in an electronic format through DOE's Industry Interactive Procurement System (IIPS) in accordance with the application preparation instructions contained in Section III of this solicitation.

ALL APPLICATIONS MUST HAVE AN IIPS TRANSMISSION TIME STAMP OF NOT LATER THAN 11:59 pm EASTERN TIME ON April 1, 2003.

The only acceptable mode of application transmission is through IIPS. Applications submitted through the U.S. Postal Service, facsimile, telegraphically, E-mail, courier companies, or hand-delivered hard copies will be considered non-responsive.

Applicants are advised to begin transmission 24 hours in advance of the deadline in order to prevent any transmission difficulties.

2.8 LATE APPLICATIONS, AMENDMENTS AND WITHDRAWALS OF APPLICATIONS -- IIPS (JAN 2001)

An application or amendment of an application shall be timely if it is transmitted through IIPS, and the date/time of the transmission indicated by IIPS is on or before the closing date(s) indicated above.

Applications or amendments of applications may be withdrawn by written notice by an authorized representative to the Contract Specialist via E-mail or by contacting the IIPS HELP Desk. A second application or amendment may then be submitted. The second or subsequent application must be submitted before the closing date to be considered.

In the event that two or more applications are received for the same project with the same file name, the application with the latest transmission time stamp will be considered for review. Therefore, it is important that you not merely make page changes and resubmit portions of the application that are amended. A complete amended application must be sent. Contact the IIPS HELP Desk for assistance.

2.9 ANTICIPATED SELECTION AND AWARD DATES (AUG 1999)

It is anticipated that selections for award will be made in the third quarter of FY-2003 (June - August 2003). Awards are expected to be made within 90 calendar days following the selection.

2.10 CONTENT OF RESULTING AWARD (NOV 2000)

Any agreement awarded as a result of this solicitation will contain the applicable terms and conditions found in the Model Financial Assistance Agreement located at the NETL Website located at: <http://www.netl.doe.gov/business/faapiaf/MODEL.PDF>

Blank areas appearing in the model agreement indicated by "[]" will be completed after negotiations.

2.11 APPLICATION PREPARATION COSTS (DEC 1999)

This solicitation does not obligate the Government to pay any costs incurred in the preparation and submission of applications, or in making necessary studies or designs for

the preparation thereof or to acquire, or contract for any services.

2.12 COMMITMENT OF PUBLIC FUNDS (AUG 1999)

The Contracting Officer is the only individual who can legally commit the Government to the expenditure of public funds in connection with the proposed award. Any other commitment, either explicit or implied, is invalid.

2.13 FALSE STATEMENTS (AUG 1999)

Applications must set forth full, accurate, and complete information as required by this solicitation. The penalty for making false statements in applications is prescribed in 18 U.S.C. 1001.

2.14 QUESTIONS/AMENDMENTS TO SOLICITATION -- IIPS (NOV 2001)

All requests for explanation or interpretation of any part of the solicitation must be submitted through the "Submit Question" feature in IIPS. Once a question is submitted, it can not be edited. Questions submitted as well as the Government's response to these questions may be viewed by using the "View Questions" feature in IIPS. The Government reserves the right not to respond to questions submitted by telephone, E-mail, or in person at any time.

The only method by which any term of this solicitation may be amended is by an express, formal amendment generated by the issuing office and disseminated through IIPS. No other communication, whether written or oral will amend or supersede the terms of this solicitation.

Applicants are encouraged to periodically check IIPS to ascertain the status of any amendments and review the answers to questions as hard copies will not be distributed. Applicants are encouraged to click on the "Join Solicitation Mailing List" link if they would like to receive e-mail notifications on updates and/or modifications to the specified solicitation.

2.15 CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER (CFDA) (DEC 2000)

81.089	Fossil Energy Research and Development	FE
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The Applicant should put this CFDA number in Block 10 of the Standard Form 424, Application for Federal Assistance.

2.16 PARTICIPATION BY FEDERAL ORGANIZATIONS OR FEDERALLY AFFILIATED ORGANIZATIONS (MAR 2002)

Applications submitted by, or on behalf of: (1) Federal agency; (2) a Federally Funded Research and Development Center (FFRDC), or (3) a Department of Energy (DOE) Management and Operating (M&O) contractor will not be eligible for an award under this solicitation. However, these organizations may be proposed as team members subject to the following guidelines.

(a) For DOE M&O contractors, the proposed use of such entity must be authorized in writing by the DOE Contracting Officer or authorized designee responsible for managing the M&O Contractor. The applicant must also provide any applicable additional information identified in VOLUME I - APPLICATION DOCUMENTS found at the NETL Website located at www.netl.doe.gov/business/faapiaf/main.html. The DOE Contracting Officer responsible for managing the M&O Contractor must determine that performance by the M&O contractor: (1) is consistent with or complementary to DOE missions and the missions of the facility to which the work is to be assigned; (2) will not adversely impact execution of assigned programs of the facility; (3) will not place the facility in direct competition with the

domestic private sector; and (4) will not create a detrimental future burden on DOE resources. DOE will make award to the applicant for the applicant's portion of the effort. For the M&O effort, DOE shall fund the work, in whole or in part, through a DOE field work proposal to the M&O contractor. If DOE funds a portion of the M&O effort, then the Recipient is responsible for funding the remaining portion of the effort through a Cooperative Research & Development Agreement (CRADA) or a service agreement utilizing their own funds.

(b) For FFRDC contractors (other than a DOE M&O contractor), the proposed use of such entity must be consistent with the FFRDC's authority under its contract with the cognizant Federal agency and such work must not place the FFRDC in direct competition with the private sector. DOE shall fund the FFRDC work through an interagency agreement with the cognizant Federal agency.

(c) For Federal agencies, the proposed effort must not place the agency in direct competition with the private sector. DOE shall fund the other agency work through an interagency agreement.

(d) An applicant's cost sharing requirement shall be based on the total cost of the project, including the applicant's and the Federal agency, FFRDC and M&O's portions of the effort.

(e) The estimated total cost of the Federal agency, FFRDC or M&O contractor(s) work, in the aggregate, shall not exceed 25% of the total estimated project cost.

2.17 DETERMINATION OF RESPONSIBILITY (JAN 2001)

DOE will evaluate the potential Recipient's responsibility before award. Responsibility determinations are focused on the Recipient's capability to manage and account for the funds, property and other assets provided and to perform satisfactorily under the terms of the award. If a potential Recipient is determined to not be in compliance or cannot or will not comply with generally applicable requirements (see 10 CFR Part 600, Appendix A), the contracting officer will find the Recipient not responsible and may either disapprove the application or use special restrictive conditions as a term of award.

2.18 EVALUATION PERSONNEL (AUG 2000)

Applications will be evaluated in accordance with the criteria set forth in Section IV of the solicitation. In conducting this evaluation, the Government may utilize personnel from other Federal Agencies, and the private sector. **APPLICANTS NOT WISHING TO HAVE THEIR APPLICATION EVALUATED BY NONFEDERAL PERSONNEL SHALL INDICATE THEIR "NON-CONSENT" IN VOLUME I.** Applicants are further advised that DOE may be unable to consider an application withholding such consent.

When using personnel from other Federal agencies or the private sector, DOE will obtain assurances from all evaluators that DOE's commitments are met relating to the proprietary nature of any application information.

2.19 APPLICATION CLARIFICATION (JULY 1999)

DOE reserves the right to require applications to be clarified or supplemented through additional written submissions or oral presentations.

2.20 APPLICATION ACCEPTANCE PERIOD (AUG 1999)

The minimum application acceptance period shall be 180 calendar days after the deadline(s) for receipt of applications.

2.21 AWARD WITHOUT DISCUSSIONS (AUG 2000)

Notice is given that award may be made after few or no exchanges, discussions or negotiations. Therefore, all applicants are advised to submit their most favorable application to the Government. The Government reserves the right, without qualification, to reject any or all applications received in response to this solicitation and to select any application, in whole or in part, as a basis for negotiation and or award.

2.22 PRESUBMISSION REVIEW AND CLEARANCES (AUG 1999)

Presubmission review under Executive Order 12372, "Intergovernmental Review of Federal Programs" is not required.

2.23 LOANS NOT AVAILABLE (JULY 1999)

Loans are not available under the DOE Minority Economic Impact (MEI) loan program, 10 CFR Part 800, to finance the cost of preparing a financial assistance application.

2.24 52.227-6 ROYALTY INFORMATION. (APR 1984)

- a. *Cost or charges for royalties.* When the response to this solicitation contains costs or charges for royalties totaling more than \$250, the following information shall be included in the response relating to each separate item of royalty or license fee:
 1. Name and address of licensor.
 2. Date of license agreement.
 3. Patent numbers, patent application serial numbers, or other basis on which the royalty is payable.
 4. Brief description, including any part or model numbers of each contract item or component on which the royalty is payable.
 5. Percentage or dollar rate of royalty per unit.
 6. Unit price of contract item.
 7. Number of units.
 8. Total dollar amount of royalties.
- b. *Copies of current licenses.* In addition, if specifically requested by the Contracting Officer before execution of the contract, the offeror shall furnish a copy of the current license agreement and an identification of applicable claims of specific patents.

2.25 INTELLECTUAL PROPERTY DEVELOPED UNDER THIS PROGRAM (MAR 2001)

(a) PATENT RIGHTS

The government will have certain rights in all subject inventions. A subject invention is one that is conceived or first actually reduced to practice under a DOE award. This may include inventions that have been patented prior to the award of the contract, if the invention is first actually reduced to practice under the contract. The statutes defining the government's rights are found at 35 U.S.C. §§ 200 to 212, <http://www4.law.cornell.edu/uscode/> and the regulations are found at 10 CFR 927.3 <http://www.access.gpo.gov/nara/cfr/index.html>. The following is a general discussion, which is not exhaustive and so should not be relied on as legal advice. Review the statutes and regulations referenced above, and the clauses referenced below for a more complete explanation.

If the contractor or subcontractor is a domestic small business firm or non-profit organization, the clause at 48 CFR 952.227-11 applies. Under this clause, the contractor will have the first option to elect to retain title to any subject invention.

However, the government retains certain rights such as march-in rights, U.S. preference, and government-use license.

If the contractor or subcontractor does not qualify as a domestic small business firm or non-profit organization, the clause at 48 CFR 952.227-13 applies. Under this clause, the government takes title to any subject invention and the contractor gets a revocable, nonexclusive, royalty free license. However, the contractor can petition the Department of Energy (DOE) for a waiver of patent rights. A minimum of 20% cost sharing is usually required for an advance patent waiver, and the DOE retains some rights in the invention such as march-in rights, US competitiveness, and government use license. The DOE waiver regulations are found at 10 CFR 784.

(b)RIGHTS TO TECHNICAL DATA

Pursuant to 48CFR 52.227-14 and 52.227-16, the Government has unlimited rights in technical data created under the agreement. Delivery or licensing of proprietary software or data developed solely at private expense will not normally be required except as specifically negotiated in a particular agreement or as may be negotiated as a condition of a patent waiver to insure continued development toward commercialization of an invention arising under a DOE agreement.

In this program, it is anticipated that DOE will be able to withhold certain technical data created under the program for up to five (5) years from the time it is created under The Energy Policy Act of 1992 (42 U.S.C §13541(d)). See the Act for a definition of the type of data that may be protected from public disclosure. The decision to include this provision in individual awards will be made on a case-by-case basis for each agreement considering the technology involved, etc. After the five (5) year time period expires, such data is subject to release if it is a Government record.

2.26 952.227-84 NOTICE OF RIGHT TO REQUEST PATENT WAIVER. (FEB 1998)

Offerors have the right to request a waiver of all or any part of the rights of the United States in inventions conceived or first actually reduced to practice in performance of the contract that may be awarded as a result of this solicitation, in advance of or within 30 days after the effective date of contracting. Even where such advance waiver is not requested or the request is denied, the contractor will have a continuing right under the contract to request a waiver of the rights of the United States in identified inventions, i.e., individual inventions conceived or first actually reduced to practice in performance of the contract. Domestic small businesses and domestic nonprofit organizations normally will receive the patent rights clause at DEAR 952.227-11 which permits the contractor to retain title to such inventions, except under contracts for management or operation of a Government-owned research and development facility or under contracts involving exceptional circumstances or intelligence activities. Therefore, small businesses and nonprofit organizations normally need not request a waiver. See the patent rights clause in the draft contract in this solicitation. See DOE's patent waiver regulations at 10 CFR part 784.

2.27 NOTICE REGARDING ELIGIBLE/INELIGIBLE ACTIVITIES (AUG 1999)

Eligible activities under this program include those which describe and promote the understanding of scientific and technical aspects of specific energy technologies, but not those which encourage or support political activities such as the collection and dissemination of information related to potential, planned or pending legislation.

SECTION III
SOLICITATION-APPLICATION PREPARATION INSTRUCTIONS

3.1 IIPS APPLICATION PREPARATION INSTRUCTIONS - GENERAL (MAY 2002)

The application shall be prepared as set forth herein to provide a standard basis for evaluation and to insure that each application will be uniform as to format and sequence.

Applicants are advised that the submission of your application in an electronic format is required utilizing the Industry Interactive Procurement System (IIPS) through the Internet at <http://e-center.doe.gov/>. IIPS provides the medium for disseminating solicitations, receiving applications, and evaluating applications in a paperless environment. Individuals who have the authority to enter their company into a legally binding contract and intend to submit applications via the IIPS system must register and receive confirmation that they registered prior to being able to submit an application on the IIPS System. An IIPS "User Guide for Contractors" can be obtained by going to the IIPS Homepage at <http://e-center.doe.gov> and then clicking on the "Help" button. Questions regarding the operation of IIPS may be E-mailed to the IIPS Help Desk at IIPS_HelpDesk@e-center.doe.gov or call the Help Desk at (800) 683-0751.

During review of the complete application, DOE may request the submission of additional information if the information is essential to evaluate the application.

3.2 OVERALL ARRANGEMENT OF APPLICATION (MAR 2002)

The overall application shall consist of three (3) physically separated volumes, individually entitled as stated below and submitted through IIPS at <http://e-center.doe.gov>.

APPLICATION VOLUME -- TITLE

Volume I -- Offer and Other Documents
Volume II -- Technical Application
Volume III -- Cost Application

All forms and instructions needed for preparation of each volume are found on the NETL homepage at: <http://www.netl.doe.gov/business/faapiaf/main.html>. Instructions for completion of the forms are contained on the back of each form. Questions on completion of the forms should be addressed to the Contract Specialist.

In order for a complete application package to be received correctly through IIPS, offerors are advised to download all files needed for transmission from the NETL homepage and complete all volumes entirely prior to initiating transmission through IIPS. Submission of all required volumes must be performed at the same time and from the same computer. Submission of volumes at different times or from different computers may separate the volumes and make it difficult to determine the applicant's responsiveness to the requirements.

3.3 FILE FORMAT (NOV 2001)

To aid in evaluation, applications shall be clearly and concisely written as well as being neat, indexed (cross-indexed as appropriate), and logically assembled. All pages of each part shall be appropriately numbered, and identified with the name of the applicant, the date, and the solicitation number to the extent practicable.

Application files are to be formatted in one of the following software applications:

ANY OR ALL OF THE FOLLOWING FORMAT TYPES: Adobe Acrobat PDF, Word, WordPerfect, Excel.

Files shall be saved with filenames which clearly identify the file being submitted. Filename extensions shall clearly indicate the software application used for preparation of the documents, i.e. .wpd, .doc, .pdf, xls.

In order to create PDF documents, complete the fillable PDF forms, save them, and/or electronically transmit them to DOE, the full version of Adobe Acrobat must be acquired. Information regarding Adobe Acrobat software can be obtained from Adobe Systems, Inc. at <http://adobe.com>.

3.4 SIGNED ORIGINALS - IIPS (NOV 2001)

All applicants are also required to send one (1) fully executed copy of original signed documents (ALL THREE (3) VOLUMES) to the address on the solicitation cover page within five (5) working days after the application due date. No changes or variances from the electronically submitted version of the documents will be accepted.

3.5 VOLUME I -- OFFER AND OTHER DOCUMENTS PREPARATION INSTRUCTIONS (JAN 2002)

When the applicant begins to "Create Proposal", the applicant will complete the required fields and attach the following files to the link identified as: Attach Volume I/Offer or Other Document . For consistency, the applicant is instructed to use the file names specified below,. Filename extensions shall clearly indicate the software application used for preparation of the documents , i.e, ".wpd" for WordPerfect, ".pdf" for Adobe Acrobat, or ".doc" for Word files:

	MANDATORY FILE	FILENAME
File 1	Volume 1, Application Cover Sheet	V1_COVER.---
File 2	SF 424, Application for Federal Assistance	424.---
File 3	SF424b, Assurances, Non-Construction Programs	424b.---
File 4	D1600.5, Assurance of Compliance	1600_5.---
File 5	Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Work Place Requirements	CERT_LLD.---
File 6	Representation of Limited Rights Data and Restricted Computer Software	PATENT.---
File 7	NEPA Environmental Questionnaire	NEPASOL.---
File 8	Simpson-Craig Amendment Representation	SIMCRAIG.---
File 9	SF-LLL Disclosure of Lobbying Activities	LLL.---

In the event that the applicant takes exceptions or deviations are taken to the Model Agreement or other portions of this solicitation , these exceptions/deviations shall be clearly labeled and included as a second page to File 1, Application Cover Sheet.

3.6 VOLUME II-- TECHNICAL APPLICATION PREPARATION INSTRUCTIONS - IIPS (NOV 2001)

Volume II is limited to seventy-five (75) pages, including the Cover Page, Public Abstract, resumes, and letters of commitment with thirty-five (35) pages limited to the Technical Discussion (File 3) portion of the Volume.

Pages submitted in excess to the page limitations will not be considered in the evaluation process.

When the Applicant begins to "Create Proposal", the Applicant will create an IIPS cover page and attach the required files to the link identified as: Attach Volume 2/ Technical Proposal. For consistency, the applicant is instructed to use the file names specified below,. Filename extensions shall clearly indicate the software application used for preparation of the documents , i.e, ".wpd" for WordPerfect, ".pdf" for Adobe Acrobat, or ".doc" for Word files:

	MANDATORY FILE	FILENAME
File 1	Public Abstract	ABSTRACT.----
File 2	Cover Page	COVER .---
File 3	Technical Discussion	TECHNICAL.---
File 4	Resumes of Key Personnel, Publications, and/or Letters of Commitment, if applicable.	ATTACHMENTS.---
File 5	Statement of Project Objectives	OBJECTIVES.---

FILE 1 PUBLIC ABSTRACT

This file shall contain a public abstract of not more than one (1) single spaced typewritten page clearly stating the objectives of the proposed research, the title of the project, methodology, and sponsoring organization(s). It is a stand alone document. The Applicant shall provide a point of contact for coordination, preparation and distribution of press releases in this abstract. This abstract may be released to the public by DOE in whole or in part at any time. It is, therefore, required that it shall not contain proprietary data or company sensitive business information.

FILE 2 COVER PAGE

This file shall include a cover page indicating the solicitation number, name and address of the Applicant, point of contact, telephone/FAX number/E-Mail address, title of project, and date of application.

FILE 3 TECHNICAL DISCUSSION

The technical discussion shall not exceed 35 pages double spaced, using 12 point font, 1" margins, and when printed will fit on size 8 1/2" by 11" paper.

The technical application will consist of the Applicant's outline addressing the technical and management aspects of the assistance action, the Applicant's capabilities and what the Applicant will do to satisfy the requirements of the solicitation. Since the technical information contained in this section will be evaluated to determine such matters as understanding of the work to be performed, technical approach, and potential for completing the desired work, it should be specific and complete in every detail. The Application should be practical and be prepared simply and economically, providing a straightforward, concise delineation of what it is the Applicant will do to satisfy the requirements of the solicitation.

To help facilitate the review process and to insure all the review criteria are addressed, the applicant shall use the following format when preparing the technical discussion. This format relates to the technical evaluation criteria found in Section IV.

All applicants, at a minimum, must provide the following information:

1. Regional Partnership Composition, Technical, and Management Capabilities (25%)

This section shall describe proposed partnerships composition, their understanding and abilities to meet the goals and objectives of the proposed work, and demonstrate the applicant's understanding of the DOE's objectives set forth in the solicitation. The applicant shall provide the qualifications of all participating organizations and individuals in the Partnership (including subcontractors and consultants) to execute and manage the proposed effort. The application shall include the following:

- A brief description of the credentials, capabilities, and experience (technical and managerial) of the organizations involved in the work effort.
- The credentials, capabilities, experience (technical and managerial) and availability of the key personnel to be assigned to the project. The roles of key personnel and the percentage of time being devoted to the project should be clearly identified. Resumes of key project personnel shall be included in File 4.
- A description of the project organization, structure, and diversity of the partnerships abilities to meet the objectives of this solicitation, with responsibilities and lines of authority, both technical and administrative, of the participating organizations and key personnel as they relate to the tasks and subtasks in the Statement of Project Objectives. Letter of commitment from participating organization shall be included in File 4 detailing their level of effort and any cost-share.
- A description of any prior experience in managing projects of similar type, size and complexity.
- A description of the type, quality, availability and appropriateness of facilities, equipment, and materials to be utilized in carrying out the proposed work.
- A description of how results of the proposed work will be made available to the DOE and to the community dealing with carbon sequestration issues.

2. Methodology(ies) to Identify and Address Carbon Sequestration Implementation Issues (25%)

This section will describe the Partnerships plans to identify and develop action plans to address issues related to environmental efficacy, permitting, regulatory issues, public education and acceptance of carbon sequestration technology(ies). The applicant must clearly define the Partnerships abilities to develop these plans and meet the goals of this solicitation by developing the framework for wide-scale deployment of carbon sequestration technology. The application shall include:

- A description of the plan to identify, and approach to address, environmental efficacy requirements including, but not limited to; assessment of environmental risks due to sequestration activities (to support the NEPA requirements); development of measuring, monitoring and verification protocols; and evaluation of the life-cycle of the storage options being considered for the region.
- A description of the plan to identify and develop approaches to all permitting and regulatory requirements associated with the most promising capture and sequestration opportunities in the region. This shall include the evaluation of current regulations, proposed regulations, and potential gaps that need to be addressed by the Partnership.
- An approach to developing an outreach plan to: inform the public of the capabilities of the partnership; benefits of the partnership activities; and, engage the public in stakeholder activities when appropriate. Within the outreach plan the Partnership shall consider websites, stakeholder meetings, and other activities as deemed appropriate.

3. Methodology(ies) to Characterize the Region and Evaluate CO₂ Sequestration Opportunities (25%)

This Section will describe the geographical boundaries of the region to be considered by the Partnership in identifying sources, sinks, and transportation infrastructure requirements for CO₂ sequestration. The application shall include:

- A description of the geographic region as defined by the Partnership (e.g., concentration of particular type sources or sinks) and justification that the proposed Region should be considered over areas with similar sources or sinks.
- A description of the particular region's CO₂ sources, potential storage sites, and transportation requirements including a plan to provide detailed characterization of these sources, potential storage sites, and transportation infrastructure requirements.
- A description of the systems to be used to manage the data collected including geospatial data analysis.
- A description of the potential aggregate amounts of greenhouse gas storage and value-added benefits (such as enhanced oil recovery, enhanced gas recovery, improved forestry/agriculture practices) that could result from the Regional Partnerships.
- A description of the plan to develop criteria (e.g. potential risks, economics, integrity of the sink, implementation issues, etc) and a model to evaluate the CO₂ sources, potential sinks, and transportation infrastructure to define the most promising opportunities for capture, storage, and transport of CO₂ in the region.

4. Project Plan and Approach (25%)

The applicant shall provide a clear description of the technical approach that will be implemented to accomplish the project objectives. For multi-budget period projects, the applicant shall define the phases and criteria for determining successful completion of each budget period. The application shall include:

- A narrative description of the planned work for each annual budget period. This description should be an expanded version of the Statement of Project Objectives and use the headings contained therein (e.g., Objectives, Scope of Work, Tasks to be Performed). It should be written in the active voice using consistent wording that divides the work into logical tasks and subtasks necessary to accomplish the project objectives. The Applicant shall provide a clear description of the work to be performed under each task and subtask. The description shall identify the product(s) and deliverables that will result from each task and its relation to the overall project. The description of the planned work shall contain necessary and sufficient information to estimate the cost of the work being proposed.
- Labor hours and justification. The Applicant shall provide a table listing the estimated labor hours and labor categories (e.g., project manager, principal investigator, engineering, technician, scientific, clerical) required for each task in the Statement of Project Objectives. The Applicant shall include a table showing labor hours and labor categories for any proposed subcontracting or consulting effort for each task. These categories should be easily cross-referenced with the key personnel identified in 1 above.
- A project work breakdown structure, schedule, and milestones, and a description of, the interrelationships of the project tasks. All significant milestones shall be defined in a milestone log and depicted on the schedule.
- A description of any proposed travel. The purpose of the trip, number of trips, the origin and destination, trip duration, and the number of personnel shall be included in the explanation.
- A description of potential obstacles to meeting project goals and mechanisms for mitigating potential problems.

FILE 4 RESUMES OF KEY PERSONNEL, PUBLICATIONS, AND/OR LETTERS OF COMMITMENT, IF APPLICABLE.

This file shall contain resumes of key personnel, qualifications and experience of participating organizations, additional pertinent publications, letters of commitment, etc.

FILE 5 STATEMENT OF PROJECT OBJECTIVES

The Department of Energy's, National Energy Technology Laboratory uses a specific format for Statement of Project Objectives in its awards. In solicitations such as this one, where the Government does not provide a Statement of Project Objectives, the Applicant is to provide one, which the DOE will then use to generate the Statement of Project Objectives to be included in the award.

All applications must contain a single, detailed Statement of Project Objectives that addresses how the project objectives will be met. The Statement of Project Objectives must contain a

clear, concise description of all activities to be completed during project performance and follow the structure discussed below. The Statement of Project Objectives may be released to the public by DOE in whole or in part at any time. It is therefore required that it shall not contain proprietary or confidential business information.

The Statement of Project Objectives is generally less than 15 pages in total for the proposed work. Applicants shall prepare the Statement of Project Objectives in the following format:

TITLE OF WORK TO BE PERFORMED

(Insert the title of work to be performed. Be concise and descriptive.)

A. OBJECTIVES (To be completed by Applicant)

Include one paragraph on the overall objective(s) of the work. Also, include objective(s) for each phase of the work.

B. SCOPE OF WORK (To be completed by Applicant)

This section should not exceed one-half page and should summarize the effort and approach to achieve the objective(s) of the work for each Phase.

C. TASKS TO BE PERFORMED (To be completed by Applicant)

Tasks, concisely written, should be provided in a logical sequence and should be divided into the phases of the project. This section provides a brief summary of the planned approach to this project.

PHASE I

Task 1.0 - (Title)

(Description)

Subtask 1.1 (Optional)

(Description)

Task 2.0 - (Title)

PHASE II (Optional)

Task 3.0 - (Title)

D. DELIVERABLES (To be completed by Applicant)

In this section, the applicant shall briefly describe what the principal technical contents of the reports will be. For example, the principal contents could be the results of processed data, the results of analyses and tests, abstracts or papers submitted to technical conferences, or summaries of workshops. This section is intended to briefly summarize technical contents only. Please note that the periodic, topical, and final reports shall be submitted in accordance with the "Federal Assistance Reporting Checklist" and the instructions accompanying the checklist. The checklist specifies the frequency, form, format, and file name conventions for reporting, not the principal contents.

At a minimum, Partnerships will be required to provide the following deliverables:

1. Computer products developed by the Partnership which could consists of relational

databases and data contained therein, computer programs, graphical user interfaces, geographic information systems and data contained therein, web pages, and models used to evaluate feasibility of projects with respect to technical application and cost.

2. Action Plans for Implementation and Technology Validation Activity. Action plans shall be prepared to implement the framework developed leading to small scale regional technology validation field tests identified in by the Partnerships. Relative to direct capture options from energy facilities, Partnerships are encouraged to consider cost-effective approaches that provide flexibility for assessing multiple candidate technology options, if appropriate, such as a small slip stream from existing facility. Action plans for implementing public acceptance, public involvement and education, regulatory, permitting and accounting frameworks necessary for demonstration and wide-scale deployment of the most promising greenhouse gas mitigation strategies identified from this by the Partnership.

E. BRIEFINGS/TECHNICAL PRESENTATIONS (If applicable)

The Recipient shall prepare detailed briefings for presentation to the COR at the COR's facility located in Pittsburgh, PA or Morgantown, WV. Briefings shall be given by the Recipient to explain the plans, progress, and results of the technical effort

The Recipient shall provide and present a technical paper(s) at the DOE/NETL Annual Contractor's Review Meeting to be held at the NETL facility located in Pittsburgh, PA or Morgantown, WV.

3.7 TREATMENT OF PROPRIETARY INFORMATION (AUG 1999)

An application may include technical data and other data, including trade secrets and/or privileged or confidential commercial or financial information, which the applicant does not want disclosed to the public or used by the Government for any purpose other than application evaluation. To protect such data, the applicant should specifically identify each page including each line or paragraph thereof containing the data to be protected and mark the cover sheet of the application with the following Notice as well as referring to the Notice on each page to which the Notice applies:

NOTICE OF RESTRICTION ON DISCLOSURE AND USE OF DATA

The data contained in pages [] of this application have been submitted in confidence and contain trade secrets or proprietary information, and such data shall be used or disclosed only for evaluation purposes, provided that if this applicant receives an award as a result of or in connection with the submission of this application, DOE shall have the right to use or disclose the data therein to the extent provided in the award. This restriction does not limit the Government's right to use or disclose data obtained without restriction from any source, including the applicant.

DOE shall not refuse to consider an application solely on the basis that the application is restrictively marked.

3.8 VOLUME III-- COST APPLICATION PREPARATION INSTRUCTIONS - IIPS (JAN 2002)

When the Applicant begins to "Create Proposal, the Applicant will complete the fields on the cover page and attach the following files to the link identified as: Attach Volume 3/Cost Proposal. For consistency, the applicant is instructed to use the file names specified below,. Filename extensions shall clearly indicate the software application used for preparation of the documents , i.e, ".wpd" for WordPerfect, ".pdf" for Adobe Acrobat, or ".doc" for Word files:

	MANDATORY FILE	FILENAME
File 1	Volume III, Application Cover Sheet	V3_COVER.---
File 2	Budget Forms	4600_4.--- or 424a.---
File 3	Supporting Cost Detail	DETAIL.---
File 4	Financial Management System	ACCTSURV.---

3.9 APPLICATION SUBMISSION REQUIREMENTS FOR PARTICIPATING DOE M&O CONTRACTORS, NON-DOE FEDERALLY FUNDED RESEARCH AND DEVELOPMENT CENTERS (FFRDC'S) OR FEDERAL AGENCIES (MARCH 2002)

In addition to the application information to be provided by the applicant as set forth in other parts of this Section, the following additional requirements are required if your application includes work to be performed by a DOE M&O contractor, Non-DOE FFRDC, or Federal agency:

1. Justification

a. For participation by a DOE M&O contractor, authorization is required from the DOE Contracting Officer. The applicant must submit a document from the DOE Contracting Officer or authorized designee stating that the DOE M&O contractor is authorized to participate in the proposed work effort.

b. For FFRDC contractors (other than DOE M&O contractors), the proposed use of such entity must be consistent with the FFRDC authority under its contract with the cognizant Federal agency and such work must not place the FFRDC in direct competition with the private sector.

c. For Federal agencies, the proposed effort must not place the agency in direct competition with the private sector. DOE will fund the other agency work through an interagency agreement.

2. Work-Scope

The application must provide a scope of work for the effort to be performed by the applicant and a separate scope of work for the effort to be performed by the DOE M&O contractor, FFRDC, or Federal agency. If the applicant is teaming with a DOE M&O contractor, see DOE Order 412.1-Work Authorization System (<http://www.directives.doe.gov/>) for further submission instructions regarding Field Work Proposals, which is the vehicle used to fund the DOE M&O contractor.

3. Cost Information

In addition to the Application for Federal Assistance (SF 424), the application must include a budget page with cost information for that portion of the applicant's effort in the project and for the DOE M&O, FFRDC or Federal agencies' portion of the project. The cost information should be submitted in the same format and level of detail as prescribed under Volume III-Cost Application (NETL Business Internet link accessed at <http://www.netl.doe.gov/business/index.html>) for the purposes of evaluation. An applicant's cost sharing requirement shall be based on the total cost of the project, including the applicant, FFRDC, DOE M&O or Federal agencies' portions of the effort.

4. Teaming Agreement

The managerial arrangement between the applicant and the DOE M&O contractor, FFRDC or Federal agency.

DOE will review the application to determine that it meets these criteria and reserves the right to reject any application that fails to do so.

3.10 UNNECESSARILY ELABORATE APPLICATIONS (SEPT 2000)

Unnecessarily elaborate applications beyond those sufficient to present a complete and effective response to this solicitation are not desired. Elaborate art work and expensive visual presentations are neither necessary nor wanted.

SECTION IV **SOLICITATION-EVALUATION AND SELECTION**

4.1 INTRODUCTION (MAY 2000)

This section contains the evaluation approach as well as the individual criteria to be used in the evaluation of applications.

4.2 GENERAL (JULY 1999)

It is the policy of DOE that any financial assistance be awarded through a merit-based selection process which means a thorough, consistent and independent examination of applications based on pre-established criteria by persons knowledgeable in the field of the proposed project.

4.3 PRELIMINARY/QUALIFICATION REVIEW (FEB 2001)

Prior to a comprehensive evaluation, applications will undergo an initial review to determine whether the information required by the solicitation has been submitted and is properly completed. Applications will be reviewed for relevance to the "Regional Carbon Sequestration Partnerships - Phase I" program and for responsiveness to the requirements of the solicitation. Cost-sharing will be reviewed to insure that the requirements have been met (i.e., applicant will share at least 20% of the **total** project value, and the total DOE cost share of the project will not be greater than \$1600K).

Failure to successfully meet any one of these preliminary review criteria **may** result in the elimination of the application and may result in no further consideration in the Comprehensive Evaluation. In the event that an application is eliminated, a notice will be sent to the Applicant stating the reason(s) that the application will not be considered for financial assistance under this solicitation.

4.4 COMPREHENSIVE EVALUATION (AUG 1999)

Applications passing the preliminary evaluation shall be subject to a comprehensive evaluation in accordance with the technical evaluation criteria listed in this section.

The Environmental, Health, Safety, and Security (EHSS) Evaluation, which is not point scored, is conducted to determine the completeness of the Environmental Questionnaire, and to assess the applicant's awareness of EHSS requirements for mitigating project related EHSS risks and impacts.

The cost evaluation, which is not point scored, is conducted to determine the completeness of the cost estimate, appropriateness and reasonableness of the cost.

4.5 TECHNICAL EVALUATION CRITERIA (AUG 1999)

Technical applications submitted in response to this solicitation will be evaluated and scored in accordance with the criteria listed below:

Criterion 1 (25%) - Regional Partnership Composition, Technical, and Management Capabilities

The following factors will be considered:

(1) The diversity, expertise, and commitment of the participating organizations, including subcontractors and consultants, to execute and manage the proposed efforts;

- (2) the credentials, capabilities, and experience (technical and managerial) of the organizations involved in the work effort;
- (3) the credentials, capabilities, experience (technical and managerial) and availability of the key personnel to be assigned to the project, the roles of key personnel, and the percentage of time being devoted to the project;
- (4) the potential that the project organization and key personnel fulfill the solicitation objectives;
- (5) ability of the Applicant to succeed based on prior experience in managing projects of similar type, size and complexity;
- (6) adequacy of the type, quality, availability and appropriateness of facilities, equipment, and materials to be utilized in carrying out the proposed work; and
- (7) adequacy of the Partnerships management and proposed methods to assure technology transfer to DOE and other stakeholders.

Criterion 2 (25%) - Methodology(ies) to Identify and Address Carbon Sequestration Implementation Issues

The following factors will be considered:

- (1) The overall quality, soundness, and reasonableness of the Applicant's methodology(ies) to identify and address carbon sequestration implementation issues and meet the research objectives of this solicitation;
- (2) The Applicant's understanding of, and approach to develop, a plan to identify to address environmental efficacy requirements including, but not limited to; assessment of environmental risks due to sequestration activities (to support the NEPA requirements); development of measuring, monitoring and verification protocols; and evaluation of the life-cycle of the storage options being considered for the region;
- (3) The Applicant's understanding of, and approach to develop, a plan to identify permitting and regulatory requirements associated with the most promising capture and sequestration opportunities in the region, including the evaluation of current regulations, proposed regulations, and potential gaps that need to be addressed by the Partnership;
- (4) the Applicant's approach to developing an outreach plan to: inform the public of the capabilities of the partnership; inform the public of the benefits of the partnership activities; engage the public in stakeholder activities when appropriate; include the consideration of websites, stakeholder meetings; and, conduct other activities as deemed appropriate.

Criterion 3 (25%) - Methodology(ies) to Characterize the Region and Evaluate CO₂ Sequestration Opportunities

The following factors will be considered:

- (1) The overall quality, soundness, and reasonableness of the Applicant's methodology(ies) to characterize the region and evaluate CO₂ sequestration opportunities and meet the research objectives of this solicitation;
- (2) the Applicant's description of the geographic region as defined by the Partnership (e.g., concentration of particular type sources or sinks, benefits) and justification that the proposed Region should be considered over areas with similar sources or sinks;
- (3) the completeness of the Applicant's plan to characterize the particular region's CO₂ sources, potential storage sites, and transportation requirements including a plan to provide detailed characterization of these sources, potential storage sites, and transportation infrastructure requirements;
- (4) adequacy of the systems to be used for data collection and analysis; the Applicant's experience

in managing data collected and conducting geospatial data analysis;

(5) the potential aggregate amounts of greenhouse gas storage and value-added benefits (such as enhanced oil recovery, enhanced gas recovery, improved forestry/agriculture practices) that could result from the Regional Partnership; and

(6) potential for success of the plan to develop criteria (e.g. potential risks, economics, integrity of the sink, implementation issues, etc) and a model to evaluate the CO₂ sources, potential sinks, and transportation infrastructure to define the most promising opportunities for capture, storage, and transport of CO₂ in the region.

Criterion 4 (25%) - Project Plan and Approach

The following factors will be considered:

(1) The overall quality, soundness, and reasonableness of the Applicant's plan and approach to manage and execute the proposed work. the approach, and work plan, which divides the project into logical budget periods, tasks, and subtasks necessary to accomplish the project objectives;

(2) The labor hours and labor categories (e.g., project manager, principal investigator, engineering, technician, scientific, clerical) required for each task and subtask of the project;

(3) The project schedule and milestones, descriptions of the interrelationships of the project tasks (including all significant milestones defined in a milestone log and depicted on the schedule;

(4) Proposed travel, the purpose of the trip, number of trips, the origin and destination, trip duration, and the number of personnel included;

(5) potential obstacles to meeting project goals and mechanisms for mitigating potential problems.

4.6 COST EVALUATION CRITERIA (JULY 1999)

The costs proposed will be evaluated in response to this solicitation in order to:

- a. determine the level of verifiable cost sharing, including the method of valuation;
- b. ensure that all work elements included in the Statement of Project Objectives have associated costs, and that those cost appear appropriate and reasonable for the effort proposed; and
- c. assess the applicant's understanding of the Statement of Project Objectives.

4.7 RELATIVE ORDER OF IMPORTANCE OF EVALUATION CRITERIA (NOV 2000)

The evaluation of the technical application will be conducted using preestablished weights to determine the relative merits of the application in accordance with the technical evaluation criteria. The technical evaluation (Volume II - Technical Application) represents 100% of the total evaluation scoring. Although Volume I and Volume III will not be point scored they will be considered in the selection decision and must be addressed.

The following weighting factors will be applied to each technical evaluation criteria to obtain a final evaluation rating for each application.

Criterion 1	25%
Criterion 2	25%
Criterion 3	25%
Criterion 4	25%
	100%

4.8 APPLICATION OF PROGRAM POLICY FACTORS (NOV 2000)

These factors, while not indicators of the Application's merit, e.g., technical excellence, cost, proposer's ability, etc., may be essential to the process of selecting the application(s) that, individually or collectively, will best achieve the program objectives. Such factors are often beyond the control of the Applicant. Applicants should recognize that some very good applications may not receive an award because they do not fit within a mix of projects which maximizes the probability of achieving the DOE's overall research and development objectives. Therefore, the following Program Policy Factors may be used by the Source Selection Authority (SSA) to assist in determining which of the ranked application(s) shall receive DOE funding support.

1. Desirability to select a project(s) for award that represents a diversity of technology concepts and applications, as well as technical approaches.
2. Desirability to optimize use of available funds by allowing more projects to be supported while not being detrimental to the overall objectives of the program.
3. Desirability to select projects that collectively represents a diversity of geographic locations.
4. Desirability to select projects that collectively represent diverse types and sizes of proposing organizations.
5. Desirability to select projects that collectively represent a diversity of types of products, enhanced oil recovery, mineralization, reforestation, capture technologies, etc.

The above factors will be independently considered by the SSA in determining the optimum mix of applications that will be selected for support. These policy factors will provide the SSA with the capability of developing, from the competitive solicitation, a broad involvement of organizations and organizational ideas, which both enhance the overall technology research effort and upgrade the program content to meet the goals of the DOE.

4.9 BASIS FOR SELECTION AND AWARD (MAY 2000)

The Department of Energy anticipates the award of one or more financial assistance instruments to those applicants whose applications are determined to be in the best interest of the Department in achieving the program objectives set forth in this solicitation. Selection of an application by the Department will be achieved through a process of evaluating and comparing the relative merits of the applicant's complete applications, in accordance with all of the evaluation factors set forth in this section.

This process reflects the Department's desire to accept an application based on its potential in best achieving program objectives, rather than solely on evaluated technical merit or cost. Accordingly, the Department of Energy may select for an award all, none, or any number or part, of an application, based on its decision as to which meritorious applications best achieve the program objectives set forth in this solicitation.

It is important for applicants to note that selection for negotiations will be made entirely on the basis of applications submitted. Applications should, therefore, address specifically the factors mentioned in the evaluation criteria, and not depend upon reviewers' background knowledge.